

CODE OF ETHICS FOR PUBLIC OFFICIALS

It shall be a policy that all members of the Gaming Policy Board and all employees of the Division subject to the provisions of Section 1-79, et seq., of the Connecticut General Statutes (Code of Ethics for Public Officials) as amended thereto shall comply with all of its provisions now and in the future.

It shall be the responsibility of each and every member of the Gaming Policy Board and each and every employee of the Division to become familiar with these provisions and to comply with them at all times.

ETHICS CODE PROVISIONS APPLICABLE TO THOSE LEAVING STATE SERVICE AFTER JANUARY 7, 1987

- 1) No former public official or State employee may disclose or use confidential information, gained in State service, for his financial benefit or another's.
- 2) No former Executive Branch or Quasi-Public Agency official or employee may represent anyone (other than the State) concerning any particular matter **(1)** in which he or she participated personally and substantially while in State service and **(2)** in which the State has a substantial interest.
- 3) No former Executive Branch or Quasi-Public Agency official or employee shall, for one year after leaving State service, represent anyone (other than the State) for compensation before the agency in which he or she was employed at the time of leaving State service, concerning any matter in which the State has a substantial interest.
- 4) The restrictions which follow apply to persons who serve or who served in certain positions, which have been designated, in the

Office of Health Care Access
Conn. Siting Council
Banking Dept.
Insurance Dept.
Dept. Of Public Safety

Dept. of Public Utility Control
(including Ofc. of Consumer Counsel)
Division of Special Revenue
Gaming Policy Board
Dept. Of Consumer Protection

(Persons who serve ex officio, who are required by statute to represent a regulated industry, or who are permitted by statute to have a past or present affiliation with the regulated industry are exempt). Positions in the listed agencies to which the restrictions apply have been designated in Section 1-92-40a, Regulations of Connecticut State Agencies (pending Regulation update).

The following positions are barred, for one year, from accepting employment with a business subject to their regulatory authority:

- Members of the Gaming Policy Board
- Executive Director
- Deputy Executive Director
- Unit Heads and Assistant Unit Heads

Section 1-84b(d) required the Ethics Commission to designate those positions which are subject to the two-year ban on accepting employment with any business entity engaged in Indian gaming operations in the State; or a governmental agency of an Indian tribe engaged in Indian gaming operations in the State. The affected positions are as follows:

- Gaming Policy Board
- Executive Director
- Deputy Executive Director
- Unit Heads and Assistant Unit Heads
- Supervising Accounts Examiner (Casino)
- Special Revenue Gambling Regulation Supervisor (Casino)
- License and Applications Supervisor (Casino)
- License and Applications Analyst
- Casino Review Committee Members
- Police Lieutenant

- a) No person in one of the designated positions, may negotiate for, seek, or accept employment with any business subject to regulation by the agency.
- b) No person who formerly held one of the designated positions may, within one year after leaving State employment, accept employment with a business subject to regulation by his or her former agency.
- c) No person in one of the designated positions, may negotiate for, seek or accept employment with a business entity engaged in Indian Gaming Operations in the State and in which a Federally-recognized Indian Tribe in the State owns a controlling interest OR a governmental agency of a Federally-recognized Indian Tribe engaged in Indian Gaming operations in the State.
- d) No person who formerly held one of the designated positions, within two (2) years after leaving the agency, accept employment with a business entity engaged in Indian Gaming operations in the State and which a Federally-recognized Indian Tribe in the State owns a controlling interest OR a governmental agency of a Federally-recognized Indian Tribe engaged in Indian Gaming Operations in the State.

- 5) No former public official or State employee who participated substantially in, or supervised, the negotiation or award of a State contract valued at \$50,000 or more may accept employment with a party to the contract (other than the State) for one year after resignation from State service if the resignation occurs within one year after the contract was signed.
- 6) Persons who serve in one of approximately 75 senior positions in the State's Regulatory Agencies are prohibited, for one year after leaving State service, from accepting employment with any business subject to regulation by their former Agency.